versions

TOOLKIT

for authors, researchers and repository staff

February 2008

Top 5 hints

1 Consider and plan how you will store and name your personal versions of files from now on

2 Keep permanently your own author-created Submitted Versions and final author-created Accepted Versions of research publications

3 Add the date of completion of manuscript to the first page of any versions you create, especially your milestone versions

4 Consider carefully how you will disseminate your work before signing any agreements with publishers and keep a copy of your signed agreements

5 Deposit your work in an open access repository and think of your readers by guiding them to your latest and published versions

Suggested version names for journal articles

Draft	Early version circulated as work in progress
Submitted Version	The version that has been submitted to a journal for peer review
Accepted Version	The author-created version that incorporates referee comments and is the accepted for publication version
Published Version	The publisher-created published version
Updated Version	A version updated since publication

Contents

Introduction

Thank you for your interest in this Versions Toolkit. It is a practical guide to help you when taking decisions about disseminating your research on the web. The toolkit is written in the context of open access (OA) self-archiving of research outputs by authors, alongside traditional publication in refereed journals and other academic publications. The focus is on open access institutional repositories established by universities worldwide. There is also relevance in the context of subject repositories.

The toolkit is addressed to academic researchers as authors and as readers. It is also relevant for repository staff.

If you are an experienced researcher you are likely to be disseminating your work on a personal website, in a subject archive, or in an institutional repository already. This toolkit aims to:

• provide peer-to-peer advice about managing personal versions and revisions in order to keep your options open for future use of your work

• clarify areas of uncertainty among researchers about agreements with publishers and how these relate to different versions of research outputs

• suggest ways to identify your work clearly when placing it on the web in order to guide your readers to the latest and best versions of your work

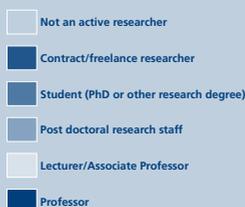• direct you to further resources about making versions of your work openly accessible

The toolkit draws on the results of a survey of researchers' attitudes and current practice when creating, storing and disseminating different versions of their research. As such the guidance in the toolkit represents the views of active researchers. Survey respondents were predominantly from economics and related disciplines.

VERSIONS survey of researchers

Quotations and survey results in this toolkit are based on a survey of researchers conducted by the VERSIONS Project in May-July 2006

• 464 respondents from 42 countries
• 75 per cent economics researchers
• Research active – 50 per cent produce two or more papers per year

Roles of survey respondents:

☐ **Not an active researcher**

☐ **Contract/freelance researcher**

☐ **Student (PhD or other research degree)**

☐ **Post doctoral research staff**

☐ **Lecturer/Associate Professor**

☐ **Professor**

The full results of the VERSIONS Project survey are available on the project website.

We hope that you enjoy reading the toolkit and that you will get some value from it. If you find it useful please let your colleagues know about it. You can find the toolkit on the VERSIONS Project website.

www.lse.ac.uk/versions

JISC briefing paper on Open Access
www.jisc.ac.uk/publications/publications/
pub_openaccess_v2.aspx

For authors

The versions issue and its importance

The issue of versions and version identification has become more important to authors with the development of the web and digital technologies. This changing environment makes it easier to store and disseminate earlier versions of research outputs. The development is a positive one in terms of improving scholarly communication and timely exchange of ideas. However ease of storage and dissemination sometimes leads to a lack of organisation and clear identification. One negative result can be a difficulty in locating specific versions among personal collections of files, thus limiting options for dissemination. Another is the time consuming process on the part of the reader to find the latest and any other important versions of an author's work when these are not clearly identified.

What is meant by versions?

In this toolkit, the word version is used to describe one or more instances of a research output that is closely related to another in terms of its intellectual content. Some examples of this could be:

• a conference paper version of a paper you later submit for publication in a refereed journal

• a series of draft versions produced as part of the revision process between co-authors of a paper to be submitted to a journal for publication

• a working paper version of a paper that later develops into a shorter journal article

• a translation of a paper

Some commentators make a distinction between versions and revisions, using the term revision to denote a minor stage along the process.

Many types of output and many revisions

As an active researcher you are likely to create different types of output for a typical project or research topic. For example you may make a conference paper and presentation, a workshop presentation, a working paper or discussion paper, journal article, book chapter, or report to your project funder.In addition to this range of different versions of your work, the process of creating the outputs also typically includes the process of revision. This will result in many, many versions and revisions of your work, sometimes with co-authors. With so many different types of output and so many revisions you may well quickly collect a large number of versions of one particular paper in all its expressions and manifestations.


59 per cent
of researchers produce four or more different types of research output from a typical research project

59%

Conference Paper
Conference Paper
Conference Paper

Conference/Workshop Presentation
Conference/Workshop Presentation
Conference/Workshop Presentation

Working Paper
Working Paper
Working Paper

Report
Report
Report

Book Chapter
Book Chapter
Book Chapter

Journal Article
Journal Article
Journal Article

Authors produce and store many versions of their research outputs

For each type of research output produced, authors go through many iterations. The number of revisions is increased when working with co-authors. In the production of a journal article, versions can run to as many as 60. Of these multiple versions authors consider a handful to be milestone versions.
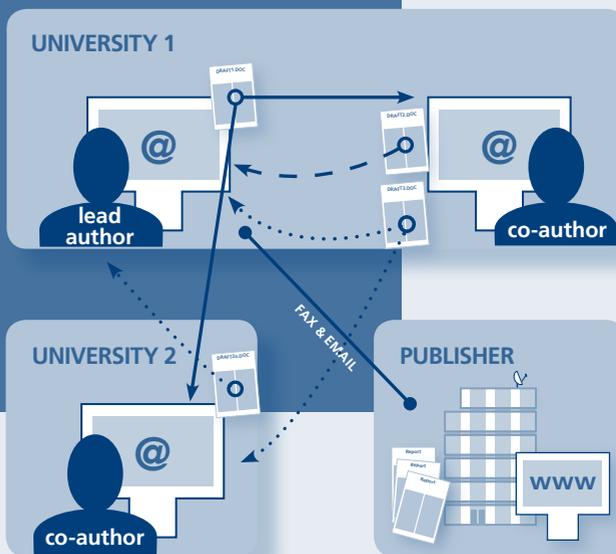
Creating, storing and organising your research outputs

A key question for you to consider is how many versions you wish to keep and for how long? In our survey of researchers we found three main approaches:

Keeping everything and keeping it permanently

This approach is feasible given the availability of cheap digital storage space. It has the seeming advantage that you will never inadvertently discard a version of your work that you may one day want to return to. In practice though, many authors who do this have told us that it is difficult (after an interval of time) to be able to locate easily the precise version you need. However, this approach can be a good strategy provided that you give careful consideration to how you will organise your files.

Tip: If you decide on keeping everything permanently, spend some time considering how best to organise your files. Pick a system that makes sense to you and use it consistently.

Keeping milestone versions

A majority of researchers are happy with a middle way: identifying and carefully storing 'milestone versions'. They regularly discard minor revisions once the next stage is reached but they ensure that they keep the major versions. The versions can represent a step along the road to publication or they can represent natural development phases in the intellectual content of the work. Authors who keep milestone versions keep their own author-produced versions as well as publisher versions provided to them, such as publisher proofs and 'reprints'. See table on page 5 for guidance on milestone versions.

Tip: Keep all your milestone versions and aim to keep them permanently.

Type of research output	Suggested milestone versions	Other personal milestones
Book chapter	Submitted version, Accepted Version, Publisher's proof, Published version	… and any other versions marking a major shift, eg a point at which the paper was split or merged or at which the ideas or content developed
Conference and workshop presentations	Final versions of the slides	
Conference paper	Submitted version, Revised version for inclusion in published proceedings	
Journal article	Draft for comment, Submitted version(s), Accepted Version (following referee comments), Publisher's proof, Published version (eg, publisher-provided PDF)	
Working paper	Submitted version, Published version	

Keeping only the latest version

A minority of economics researchers tell us they discard all earlier versions of their work as they revise. This can be a very good information management strategy which will help to reduce confusion about multiple versions and revisions as you go along. Before deciding on this course it is worth considering whether you risk limiting how you can exploit and re-use your own work in the future by discarding too much.

Tip: If you prefer to discard all draft versions as you revise, consider at least keeping the following versions of your published work to keep your options open:

• Submitted version (the version you submit to a journal for peer review or to a book publisher)

• Accepted Version (the version you create following peer review or editorial comment).

Recommendation: Keep your final author-created Accepted Version following peer review. This is a single very important step you can take as an individual to open up access to your refereed research publications to a wider readership

Formats of author versions to keep

Many researchers create a non-editable PDF file of their final Accepted Versions of journal papers and keep this alongside the publisher-provided PDF file. It is a good idea to keep the Accepted Version of the paper in an editable format too, such as a word processing format. In this way the abstract, keywords and other information can be used by your institutional repository staff to index your work. This will greatly add to the visibility of your research on the web.

Having an editable format will also help your repository managers to preserve the digital content well into the future by migrating the file to newer formats as these arise.

Your repository managers will probably create a PDF of your work for dissemination in the repository to protect against misuse or plagiarism, or you can supply this yourself if you prefer.

Tip: Keep the final author-created Accepted Version in an editable format such as a word processing format and deposit this with your repository staff.

It may be that you have a personal collection of typed manuscripts of your older papers. Be sure to keep these in addition to any reprint copies supplied to you at the time by publishers.

Tip: Keep old typed author manuscript versions too. It may be possible for your institution to digitise these in future and to make them available on the web.

Organising versions of your research outputs

As a researcher you are on the move, working from home, office, conference or field work location. You may be using mobile and wireless technologies and have a range of storage devices: work network drive, home and office PCs, laptop, mobile phone or PDA, external storage media such as USB stick, CD/DVD. Your office network storage space is likely to be secure and backed up at frequent intervals, while other personal storage devices are more susceptible to loss or damage. You may want to make offline backups yourself at regular intervals both for convenience and for peace of mind.

Tip: Choose one location as your primary storage space and copy any versions from other locations to this frequently to bring it up to date.

Take some time to decide how you are going to use your computer file system to arrange your files in a way that makes sense for your own work. Without this planning, researchers tell us they keep everything 'just in case' but cannot in practice locate specific versions easily when they need to.

Authors tell us they keep their multiple versions and revisions in folders and subfolders such as:
• Research project or topic
• Paper
• Calendar year
• Journal(s) in which intending to publish
• Conferences
• Older versions
• Accepted Versions of articles
• Publisher PDF versions

Tip: Decide on a folder structure that makes sense to you and be consistent.

When working with co-authors it is worth agreeing in advance how you will handle versions and how to ensure that revisions are always made to the latest version. Some researchers told us they have access to a version control system or to groupware and that these software tools help them to control the process of revising their work. Other collaborative spaces for sharing documents and managing versions include wikis and project management tools.

Tip: When working with co-authors, agree in advance how you will ensure the orderly revision of the paper and where the main versions will be stored.

Research on personal information management suggests that it is harder to locate our own digital assets after the passage of time than it is to find paper-based documents. For paper-based documents we may keep a special box or folder of important things and remember where it is kept in our office or home. We are less likely to prioritise our important digital files in such a way.

A regular inspection of your files can help you to identify the important versions and store these safely.

Tip: Consider creating a special folder in your computer file system for your 'must-keep' versions. Give these priority over superseded or less important versions.

Version identification of your own files

In this section of the toolkit we offer you some tips that have come from researchers themselves about how they identify their own files. You may find some of these useful.

Dates – computer file system date and time

Your own computer's file system, will provide you with access to information about the date and time created and date and time modified, which can help you to sort and find the latest versions of your work. However, take care to note what happens with these dates when files have been copied from older versions.

Date of completion of manuscript

It is a good idea to type the date yourself on the front page of any draft or version you are working on and to be consistent about updating this date when you save a new version. The date(s) you add should include the date you last worked on the manuscript. Readers told us this is one of the most important elements in helping them to check they have the version they wish to read.

Version numbering

This can be a useful convention for your own purposes while revising a paper, particularly when working with co-authors. Whether or not you include version numbers on papers you disseminate to an external readership is a matter of choice for you. Some researchers have told us they use version numbering to differentiate between major and minor changes to a paper. For example, v1.1, v1.2, v1.3 represent minor revisions, while v2.0 represents a major development in the paper.

Filenaming conventions

When identifying your own versions and revisions, the use of dates or version numbers (or both) in a file name can be a very useful technique for identifying earlier and later versions in your own file system.

For example a filename progression could be something like:
nameofpaper v0a 22sep07.doc
nameofpaper v0b 25sep07.doc
nameofpaper v1a 7oct07.doc

Authors tell us that they add other clues about the version to the filenames for their own convenience, such as:
• Journal abbreviation to denote a submitted version
• 'Final' perhaps also with journal abbreviation to denote an Accepted Version

Notes

Adding a note to the front page of versions of your paper is a way to convey useful information about the version in a concise form that can be easily understood by human readers. If you do this while revising your paper, you may find it easier to differentiate between versions after an interval of time. It is a good idea at least to add such notes to any version you intend to disseminate.

Notes could explain:
• Where this version is on the path towards publication
• How it relates to other work. It could be particularly important to highlight the link to any related work that bears a different title
• How it differs from any published version (if applicable)
• If the work is an update of a published work (eg a conference paper updating work presented in an earlier journal paper)

For example:
'This paper is the submitted version for Journal X. It is based on earlier personal drafts with input from conference presentation Y at conference Z'

You may find the checklist on page 15 helpful in deciding which information to include on the first page of your paper.

Dissemination

Which versions to disseminate

The decision about when to disseminate your work and whether to make early versions of work in progress openly accessible to the public is a personal one for you as an author. If you have signed an agreement with a publisher, then it becomes a matter partly governed by the contract you have signed and also by copyright law.

Authors often say that they are unsure which versions of their research outputs they are permitted to post on the web or in an open access repository. However 81 per cent of our survey respondents told us that if their university invites them to place a copy of their final author version in the institutional repository they would be willing to do this.

It is not the purpose of this toolkit to make recommendations to you about how and when to disseminate your work. Rather we offer practical advice about what to consider if you do wish to make early versions of your work and final Accepted Versions of your work available on open access. We also hope to direct you to further information about publisher copyright and your rights as an author.

Dissemination of early versions and work in progress

Early dissemination of work in progress is much more common in some disciplines such as physics, computer science, and economics than in others. Economists have told us that it can take up to three years to publish in a refereed journal and therefore dissemination takes place early through pre-prints, working papers and conference/workshop material. The benefits of doing this are in speeding up scholarly communication and exchange of ideas.

Some authors are concerned that placing an early version of their work in an open access repository or elsewhere on the web may count as prior publication in the eyes of publishers and thus render the work ineligible for publication at a future date. In fact you may find that publisher policies are more liberal on this issue than you think. It is a good idea to check the policy of publishers and journals in which you hope to publish in future.

Tip: The SHERPA/RoMEO website www.sherpa.ac.uk/romeo.php provides links to publisher policies and can be a good place to start.

If your university invites you to place a copy of your paper in the institutional repository and requests from you the 'final author version', would you provide this version?

1 Yes
2 No
3 Don't know
4 Don't produce papers
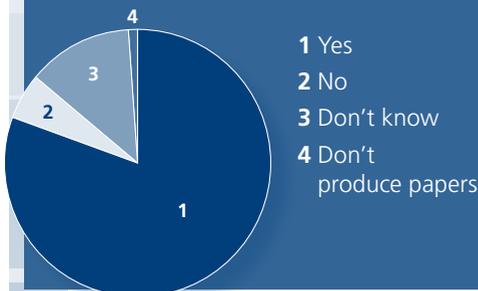
'Far too often online references disappear or move to other locations, usually within two years of referencing them. This is a very serious issue which needs sorting out.'

'With all online resources, it is important that the URL be highly durable, so that future readers can consult one's sources.'

Another concern sometimes expressed by authors is that while they are happy to disseminate early versions of their work, once the work is revised, refereed and published they would prefer to remove earlier versions in order to exercise some quality control. They are concerned that readers may find an early unrevised version of their work and miss a higher quality refereed version (which could also be several years more up to date).

There are a couple of things you can do as an author to address this concern:
• Deposit your early work in an institutional repository (or subject repository) if you disseminate it. In that way when a later version is added, a link will be made between the two and the reader will be guided to the most recent version as well as to any published versions
• Clearly identify your early work to show what status the version has, eg draft for comment, submitted version
• Add the date of completion of the manuscript Your readers also have an interest in finding your latest work and with these clues they will know they should look further.

It is difficult successfully to withdraw earlier copies of your work once they have been disseminated on the web and it is likely to be unfair to your readership. 81 per cent of researchers we surveyed said it is essential or important to them that a work that has been available online stays available at the same location. Readers have told us that they generally download and/or print out a copy of anything they read online because of the fear that it may disappear or have a broken link in future.

Tip: If you disseminate early versions, do this through deposit in a well-managed repository to enable future linking with later versions and/or compliance with publisher requirements in due course.

Authors have concerns about loss of or dilution of citations to their published work if they disseminate early versions online. To some extent this is a function of the delays in the publishing process. The early work is read while peer review is taking place. By the time the paper is published, so the argument goes, the research community has moved on. To mitigate against this, you have the option to mark your early version with a request not to cite.

Tip: If you disseminate an early version for comment or discussion but hope to publish and receive citations for the publication, mark your early versions with a request 'Please do not cite'.

If you read an earlier version of a paper that has been published in a journal, how would you prefer to cite it?

1 Cite the published version only, even though I have read the earlier version *339*

2 Cite both the published version and the earlier author version that I have read *33*

3 Cite the earlier author version that I have read *58*

4 Do not cite any version of the paper if I have not read the published version *22*

5 Don't know *12*
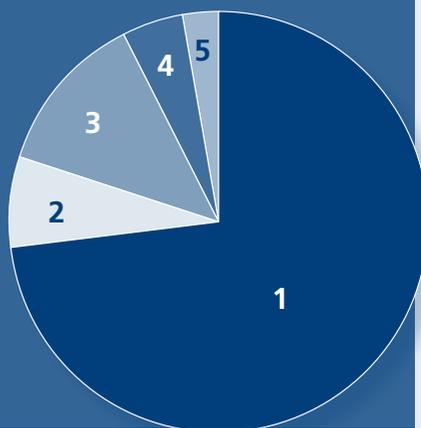
Open access dissemination of later versions of published work

Once your work has been refereed and published you have a community of readers made up of those researchers in your field who happen to have access to your book or a subscription to the journal. The decision for you at this stage is whether to make your work available to a wider readership by placing a copy of your refereed work in an open access repository or on the web. The question of whether your agreement with your publisher permits this is discussed on page 11.

Authors sometimes express concern about the time taken to find and prepare a copy of the Accepted Version of articles. Issues may include:
• When co-authoring, only the corresponding or lead author has the final Accepted Version
• After an interval of time, it is too costly to go through computer drives to look for the Accepted Version.

The advice elsewhere in this toolkit about managing personal files of versions and ensuring that final Accepted Versions are retained, perhaps in a special folder, should help to minimise the effort needed. The benefits in terms of increased readership and visibility of research may be weighed against the time required to locate and make available these versions.

Tip: When working with co-authors, protect your rights by requesting a copy of the final Accepted Version from the lead or corresponding author, so that you have access to your own work.

Another concern mentioned by some authors is that the final author-created Accepted Version of a paper is of poorer quality than the published version. For example, the final stages of revising an article may be carried out by making hand-written amendments to a publisher proof and so the published version may not be a 100 per cent verbatim copy of the final Accepted Version created by the author.

When considering this issue, it may be worth bearing in mind the potential readership among those who do not have access to the published version. For such readers it will be a huge benefit to be able to have access to the content of the paper at all, even if it is not the fully polished published version. By depositing your Accepted Version in a well-managed open access repository, you will find that your open access Accepted Version will be linked to the published version. In this way any reader with access to the published version can go there.

If there are late corrections or amendments that concern you as an author, there are a couple of options available to you:
• Indicate on the front page of your Accepted Version the extent to which the published version differs from the Accepted Version text and alert your institutional repository administrator to this also
• Provide on the front page of your Accepted Version the correct citation for the published version, including the DOI (Digital Object Identifier) if known
• If you wish to make the additional effort, you could edit your version to incorporate all the corrections made at copy-editing and proof-reading stages if your publisher agreement permits this, or append a note of such changes.

Tip: If you wish to disseminate your final Accepted Version but are concerned about variation from the published version, provide the details of these variations to your repository staff.

Concern about loss of citations is also mentioned (by 42 per cent of researchers in our survey) in connection with providing final author-created Accepted Versions to institutional repositories. However we also found that an overwhelming majority of readers prefer to cite the published version, even when reading open access versions online. If you are concerned about loss of citations as an author, you could take a couple of actions to help with this:

• Place your open access version in an institutional repository where it will be linked to the published version

• Add your preferred citation to the front page of your Accepted Version

• Indicate to your readers the variations, if any, between Accepted Version and Published Version.

## Author agreements with publishers and other parties

Authors are very uncertain about this issue and how it relates to their ability to make their work open access.

Publishers

In the case of articles for publication in refereed journals, as the author you are likely to be the copyright holder, while drafting the paper. At some point in the process, usually at acceptance of manuscript or preparation of proofs, you will be asked to sign a document known as a *Copyright Transfer Agreement*. This document is a legal contract. When you sign it, you typically agree to give away your copyright in your work in exchange for publication of the work by the publisher.

The first thing you can do to avoid limiting your rights in your own work is to read this agreement very carefully and to consider whether it allows you to use your work in the way you want. You can negotiate with your publisher about the kinds of use you will want to make. There are alternatives to the standard copyright transfer agreement and your publisher may be willing to agree.
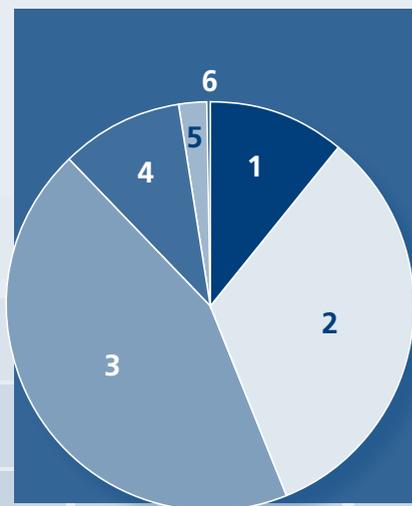
Understanding of which version(s) of your academic papers (intended for publication in refereed academic journals) you are allowed to disseminate in full text, in which locations and at which times?

Level of understanding

1 Full understanding
2 Some understanding
3 Limited understanding
4 No understanding
5 Don't know
6 Don't produce research outputs

Summary of the kinds of options that may be available to you to negotiate with your publisher

Types of agreement	Who will hold the copyright	Author's rights following the agreement
Standard copyright transfer agreement	Publisher	As determined by publisher in their usual agreement
Copyright transfer agreement with author addendum reserving certain rights	Publisher	Standard plus any additional agreed by author with publisher
Licence to publish	Author	Retains copyright and grants publisher a licence to publish

The excellent SHERPA/RoMEO listing at **www.sherpa.ac.uk/romeo.php** provides very clear summaries of publishers' standard agreement terms and links to the detailed policies on publisher websites. The RoMEO site is searchable by journal title and by publisher name.

SPARC has produced very clear guidance on how to draft an addendum to standard agreements **www.arl.org/sparc/author/index.html**

The SURF and JISC Copyright Toolbox provides a sample *licence to publish* which you can propose as an alternative to copyright transfer. **http://copyrighttoolbox.surf.nl/copyrighttoolbox/**

In the table above is a summary of the kinds of options that may be available to you when negotiating with your publisher.

Recommendation: **Consider the rights you wish to retain and be ready to negotiate with your publisher before signing an agreement.**

Recommendation: **Keep a signed copy of the agreement or licence you sign with your publisher and let your institutional repository staff know of any special terms you have secured.**

Funders

Public research funders increasingly require grant holders to deposit research outputs arising from their grants into an open access repository. In some cases this could lead to a conflict of obligations on the part of authors, when a funder requires deposit of an open access copy of their work, while the publisher agreement prohibits this. It is essential to be aware of funder policies and to keep the Accepted Version in order to be ready to comply with funder mandates. The JULIET website at **www.sherpa.ac.uk/juliet/index.php** tracks and summarises these policies and cross-refers them with publisher policies in the RoMEO website.

Employers

Some universities have agreed an intellectual property rights policy with their authors. As an example, such a policy might leave academic staff as copyright holder of their research publications, but may seek a non-exclusive licence to make such research publications available on the university website and/or in an institutional repository.

Which versions when and where

The detail about which versions of your work you can make openly accessible is set out in the standard copyright transfer agreements and in any additional or different terms you negotiate. There is variation among publishers about which versions can be made accessible, in which locations and at which times. This does lead to uncertainty among authors.

The RoMEO listing clarifies the terms offered by publishers in their standard agreements with authors through a system of colour coding and easy-to-read summaries. Typical queries that can be quickly answered by the RoMEO site include:

• Publisher policies on making pre-refereed papers open access and any requirements to remove early versions on publication

• Publisher policies on making refereed Accepted Versions open access

• Embargo periods following publication before open access versions can be made available

• Publisher policies on permitted locations of open access versions – eg on author's website or in institutional repositories

• Publisher policies on permitted versions to make open access; for example some publishers insist on use of publisher-created published versions; others prohibit this but allow use of author-created Accepted Versions

• Other publisher terms, such as set wording to describe the version used or requirements to link to official publisher website

• Full details of publisher terms are available through links to the publisher website

Tip: Use the RoMEO website to check which versions you may make open access and to check the standard policies of journals in which you hope to publish in future

Tip: When negotiating with your publisher, if they do not have a policy on open access, point them to the RoMEO website. It will help you to explain what you are asking for and should encourage smaller publishers to develop a policy.

68 per cent
of researchers told us that they were unsure whether their publisher copyright agreements permit them to place final author versions into institutional repositories.

?

©

FINAL.DOC

68%

91 per cent
of the journals tracked by the RoMEO listing (from over 300 publishers), have standard policies which allow authors to make either the final Accepted Version open access or the earlier draft or submitted versions[1]. Some smaller publishers have yet to formulate a policy on this issue.

[1] Journal Policies – summary statistics so far
http://romeo.eprints.org/stats.php

91%

In some cases your publisher will allow you as an author to place a publisher-created PDF on your own website but will only allow you to make an author-created Accepted Version available in an institutional repository. Here are a few reasons why it is worth you taking that extra step to archive your work in the repository:
• Increased visibility and discoverability of your work through web search engines
• Indexing and professional description of your work
• Long-term care and preservation of your digital assets
• Careful linking to and from preceding, successive and related versions of your work

Version identification – helping your readers

Researchers told us that they commonly find multiple versions or copies of research outputs on the web and have to spend time inspecting the different versions to find the one they need (often the latest version). If you provide an open access version of your work to a subject repository or institutional repository please let the administrator know whatever you can about the version, for example:
• which version it is
• which journal or book it is (to be) published in
• any variance from the published version
• date of completion of the manuscript
• existence of any other related versions on the web and/or in the institutional repository
• relationship of this version to other versions
• your preferred citation

We suggest that you try to identify your versions of journal articles as one of the following:

Draft	Early version circulated as work in progress
Submitted Version	The version that has been submitted to a journal for peer review
Accepted Version	The final author-created version that incorporates referee comments and is the accepted for publication version
Published Version	The publisher-created published version
Updated Version	A version updated since publication

Researchers tell us that being able to discover the date of completion of a manuscript is one of the top three solutions to the problem of multiple versions found online. Add dates to the front page of all files that you are posting on open access sites because some search engines take readers straight to the PDF file of your work and readers will need to identify the version from information given on the first page. Dates in the filename can also be helpful to readers, though filenames can be subject to change, for example on deposit to a repository.

Tip: Make sure that you include important information on the front page of your work such as date of completion of manuscript and suggested citation, if published.

If you are concerned about variation between your Accepted Version and the published version, you could consider adding a brief note about the nature and extent of such variations, eg 'verbatim as published', 'minor punctuation changes', 'minor but substantive change to formula on p.XX'.

It can be helpful to your readers if you provide notes on the front page of your open access versions about how the paper fits with other related works such as working paper versions. Repository staff will be able to link your paper to related works.

Author checklist for identifying versions of research outputs

This checklist suggests a number of ways to identify versions of your work when placing open access versions online. By adding some of these details to your research outputs you will help to guide your readers to published, later, earlier or related versions.

The most useful elements for identifying versions are highlighted in bold text. Although this is a long checklist, not all the elements will be important in every case. Any detail you can provide is likely to be helpful.

Some elements are suggested for inclusion by you on the front page of your research output. Others may simply be communicated to your repository staff when you deposit the work in an open access repository.

If you deposit your work in a repository already, you may be asked to provide other elements of information about your work. In this checklist we focus mainly on those elements which help to identify different versions of a work.

Element	Example
Author(s) names	
Title of work	
Institution name(s)	
Institution address(es)	
Email address(es)	
Date of completion of manuscript	**[Eg, Manuscript completed: 19 April 2008]**
Version number	[Eg, V1.0 or v2c]

table continues…

Author checklist continued…

Filename	[Eg, nameofpaper_v1.5_19april08.pdf]
Status of version (*select one*)	**[Draft	Submitted Version	Accepted Version	Published Version	Updated Version]**
Source of version (*select one*)	**[Author	Publisher]**
Type of research output (*select one*)	[Pre-print or other work in progress	Conference paper	Conference presentation	Working paper	Discussion paper	Book chapter	Journal article	etc]
Earlier version(s)	[Provide details of earlier versions from which this version is directly derived. For example, the submitted version is an earlier version of an Accepted Version. A working paper could be an earlier version.]
Related version(s)	[Provide details of related research outputs such as conference papers, presentations, working papers and other outputs where the relationship is not sequential in time.]
Later version(s)	[Provide details of later versions if known. For example if the version in hand is the author-created final Accepted Version, then the published version is later.]
Variation from published version if applicable (*select one*)	**[None (verbatim copy)	Typographical/ punctuation	Minor	Major]**
Notes about variation from published version if applicable	**[Eg, 'Includes four statistical tables not shown in the published version.']**
Preferred citation	**[Give your instructions here, for example a request not to cite, or a recommended citation to the published version.]**
DOI	[if publisher DOI is known, provide it here.]
Official publisher URL	[for example, a journal homepage.]
Stable URL	[for example a persistent URL in your institutional repository, if known.]

For readers

If you are consulting this toolkit you are probably both a reader and an author. This section sets out a few ideas for you to bear in mind when searching for and citing open access research papers.

Searching – to find all available papers

At the time of writing, general search engines such as Google are the most comprehensive source for content on the Internet and these will pick up individual papers. Research papers deposited in institutional repositories are generally retrieved well by search engines.

If many versions of a paper are found on the web, try searching in Google Scholar **http://scholar. google.com**, which matches similar papers by author and title and places them together. Google Scholar also presents published versions of papers near the top when these are available.

Academic search sites which cover open access institutional and subject repositories are becoming increasingly useful. For examples see BASE **www.base-search.net/** which tracks over 500 repositories or Intute Repository Search from the UK **http://irs.ukoln.ac.uk/**

Finding the latest paper

Look out for comments and notes in the paper which refer to 'work in progress', 'draft' or 'submitted version'. If you see these, check for later versions of the paper before relying on or citing the version you have found.

Has the open access paper that I have read been published?

If a paper has been deposited in a well-managed open access repository, there will be a link to the published version if the paper has been published. Web search engines can also help you to discover published versions.

I do not have access to a published version, can I find an open access version?

You can use search engines to retrieve open access papers. When these have been placed in well-managed repositories they should be retrieved. Or, you can search for the author's home page or institution to look for a copy on personal websites.

Citing others' work

Do respect authors' wishes not to have their early work in progress cited, wherever you see that they have requested this.

If you have found an open access version of a paper online and would like to cite it in your work, but wish to refer to the published version, you could consider citing both versions.

Not found an open access paper online?

If you want to obtain a paper and have not found an open access version that you can read, do contact the author direct and ask for a copy of the paper. Authors usually welcome this kind of communication. You could suggest that they deposit a copy in their institutional repository.
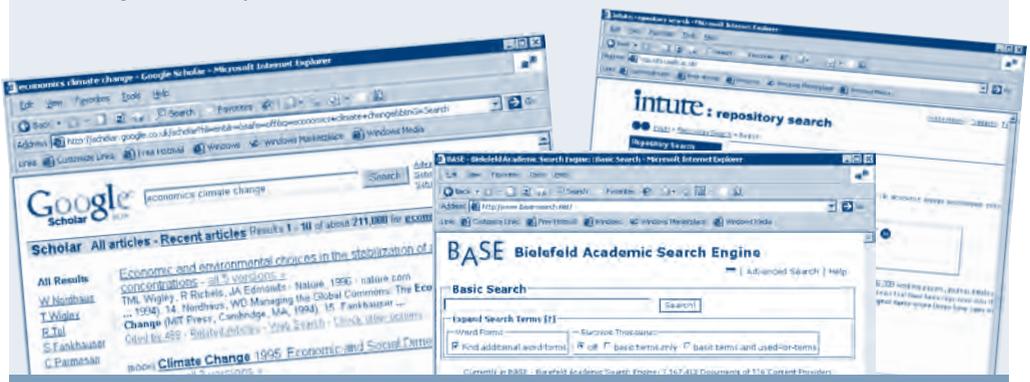
For repository staff

- Help authors to present the latest versions of their work to their readers by linking earlier and later versions of papers to each other. Help authors even more by making the latest version most prominent, with earlier versions linked behind. By doing this you will reassure authors that they can leave earlier versions of their work in the repository.

- At deposit stage, ask the author or depositor whether there are related papers or materials on the Internet which you can:
  - link to from this record
  - add to the repository

- Help readers to discover everything they wish to by linking to other related versions of research such as conference material, working papers and reports to funders

- Implement a metadata scheme which handles version identification well, such as the Scholarly Works Application Profile

- For author-created versions, always indicate the date of completion of manuscript clearly in your repository. If this is not forthcoming from the author please request it.

- Ask which version of an article you are being sent:

Draft	Early version circulated as work in progress
Submitted Version	The version that has been submitted to a journal for peer review
Accepted Version	The author-created version that incorporates referee comments and is the version accepted for publication
Published Version	The publisher-created published version
Updated Version	A version updated since publication

- Ask how the text varies from that of the published version:

Variance from published version	
None	Author version is a verbatim copy of the publisher version
Typographical/ punctuation	Punctuation or other grammatical changes which do not affect the meaning
Minor	Minor differences between this and publisher version which could however affect a citation
Major	Major changes – reader advised to check publisher version before citing

- Incorporate any authors' notes about variations between versions, in the metadata records.

- Indicate clearly in your repository whether the item is an author-created version or a publisher-created version.

- Help authors to comply with publisher requirements by linking to official published versions and providing copyright statements as necessary.

- Aim to acquire and store versions of research papers in open formats such as XML or open office document formats, so that comparisons can be made between content of versions in future.

Resources

Open access

Budapest Open Access Initiative (BOAI)
The aims of open access, with an explanation of open access self-archiving and publication in open access journals.
www.soros.org/openaccess/

Self Archiving FAQ for the Budapest Open Access Initiative (BOAI)
Very comprehensive guidance on placing your work in an open access repository.
www.eprints.org/openaccess/self-faq/

Open Access briefing paper version 2
Joint Information Systems Committee (JISC).
www.jisc.ac.uk/publications/ publications/pub_openaccess_v2.aspx

Create Change
Examines new opportunities in scholarly communication in the Internet age and encourages active participation by researchers in guiding the course of change.
www.createchange.org/

DRIVER Portal – Information for researchers
Information pages derived from the European DRIVER Project.
www.driver-support.eu/en/ researchers/index.html

Publisher copyright transfer agreement policies and author rights

SHERPA/RoMEO – Publisher copyright policies and self-archiving
Summary of permissions that are normally given as part of each publisher's copyright transfer agreement. Searchable by publisher name and journal name.
www.sherpa.ac.uk/romeo.php

Copyright toolbox
Information for authors and publishers about achieving a balance of rights in scholarly communication. Includes sample *licence to publish* for authors wishing to retain copyright and sample wording to add to copyright transfer agreements in order to retain certain rights. SURF Foundation and JISC.
http://copyrighttoolbox.surf.nl/ copyrighttoolbox/

SPARC Author Rights
Includes the SPARC Author Addendum which authors can use to secure your rights as the author of a journal article.
www.arl.org/sparc/author/index.html

Creative Commons License
This website takes you through the steps needed to create a Creative Commons license for your work.
http://creativecommons.org/license/

Funder policies on open access

JULIET – Research funders' open access policies
Summary information about funder policies on deposit of research outputs on open access with links through to the full policies.
www.sherpa.ac.uk/juliet/index.php

Version identification

This toolkit is available on the web at:
www.lse.ac.uk/library/versions/toolkit.html

VIF – Version Indentification Framework
This framework provides a set of guidelines on versions of digital objects such as images, text and data.
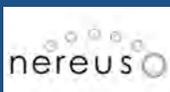**www.lse.ac.uk/library/vif/**

Notes

VERSIONS Project

(Versions of Eprints – user Requirements Study
and Investigation of the Need for Standards)

www.lse.ac.uk/versions

LSE JISC nereus

Top 5 hints

1 Consider and plan how you will store and name your personal versions of files from now on

2 Keep permanently your own author-created Submitted Versions and final author-created Accepted Versions of research publications

3 Add the date of completion of manuscript to the first page of any versions you create, especially your milestone versions

4 Consider carefully how you will disseminate your work before signing any agreements with publishers and keep a copy of your signed agreements

5 Deposit your work in an open access repository and think of your readers by guiding them to your latest and published versions